

EXPRESS MAIL NO.: EL897872827US

#5

PTO/SB/01A (10-00).

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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention	COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF LUNG CANCER
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As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 09/902,941, filed on July 10, 2001,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Robert A. Henderson Citizen of: US

Signature: [Signature] Date: 11-21-2001

Inventor two: Tongtong Wang Citizen of: US

Signature: [Signature] Date: 11/21/2001

Inventor three: Yoshihiro Watanabe Citizen of: Japan

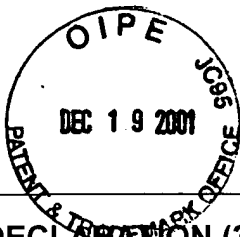
Signature: [Signature] Date: 11/30/2001

Inventor four: Jeffrey C. Johnson Citizen of: US

Signature: [Signature] Date: 11/30/2001

☒ Additional inventors are being named on one additional form(s) attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. 210121.478C17 [] JOHN0231836

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION
USING AN APPLICATION DATA SHEET (37 CFR 1.76)****ADDITIONAL INVENTOR(S)
Supplemental Sheet**Page 2 of 2

FULL NAME OF INVENTOR(S)

Inventor five	Marc W. Retter	Citizen of:	US
Signature:	<u>Marc W. Retter</u>	Date:	<u>11/20/01</u>
Inventor six	Margarita Durham	Citizen of:	US
Signature:	<u>Margarita Durham</u>	Date:	<u>11/27/01</u>
Inventor seven	Darrick Carter	Citizen of:	US
Signature:	<u>Darrick Carter</u>	Date:	<u>11/26/01</u>
Inventor eight	Gary R. Fanger	Citizen of:	US
Signature:	<u>Gary R. Fanger</u>	Date:	<u>11/21/01</u>
Inventor nine	Thomas S. Vedvick	Citizen of:	US
Signature:	<u>Thomas S. Vedvick</u>	Date:	<u>11/21/01</u>
Inventor ten	Chaitanya S. Bangur	Citizen of:	India
Signature:	<u>Chaitanya S. Bangur</u>	Date:	<u>11/21/01</u>
Inventor eleven	Andria McNabb	Citizen of:	US
Signature:	<u>Andria McNabb</u>	Date:	<u>11/30/01</u>

Additional inventors are being named on _____ additional form(s) attached hereto.



Please type a plus sign (+) inside this box



EXPRESS MAIL NO. EL897872827US

PTO/SB/81 (10-00)

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**SELECTION AND POWER OF
ATTORNEY OR
AUTHORIZATION OF AGENT**

Application Number	09/902,941
Filing Date	July 10, 2001
First Named Inventor	Robert A. Henderson
Group Art Unit	1636
Examiner Name	
Attorney Docket Number	210121.478C17

I hereby appoint:

☒ Practitioners at Customer Number

OR

☐ Practitioner(s) named below:



Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Firm or
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

☒ As assignee of record of the entire interest hereby elect, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventor

SIGNATURE of Applicant or Assignee of Record

Name Kathleen Nora McKereghan

Signature

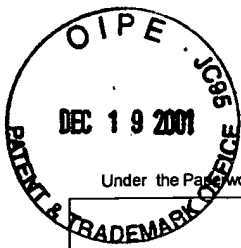
Date

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

UJHNO231854 [01-14-01]



EXPRESS MAIL NO. EL897872827US

PTO/SB/96 (08-00)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Robert A. Henderson et al.

Application No./Patent No.: 09/902,941 Filed/Issue Date: July 10, 2001

Entitled: COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF LUNG CANCER

Corixa, a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above.
The assignment was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the
current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be
submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records
of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

4 DEC 2001
Date

Kathleen Nora McKereghan
Typed or printed name

[Signature]
Signature

Senior Vice President, General Counsel and Secretary

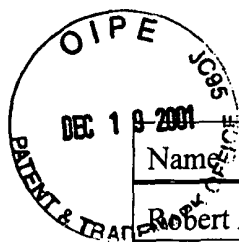
Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

210121.478C17

VOHNO231888 [09-14-01]

ASSIGNMENT OF UTILITY PATENT APPLICATION



WHEREAS, we,

Name	Post Office Address	
Robert A. Henderson	8904 92 nd Street Southwest, Edmonds, Washington 98026	;
Tongtong Wang	8049 Northeast 28 th Street, Medina, Washington 98039	;
Yoshihiro Watanabe	2266 78 th Avenue Southeast, Mercer Island, Washington 98040	;
Jeffrey C. Johnson	25828 15 th Place South, Des Moines, Washington 98198	;
Marc W. Retter	33402 Northeast 43 rd Place, Carnation, Washington 98014	;
Margarita Durham	3444 36 th Avenue West, Seattle, Washington 98199	;
Darrick Carter	321 Summit Avenue East, Seattle, Washington 98102	;
Gary R. Fanger	15906 - 29 th Drive Southeast, Mill Creek, Washington 98012	;
Thomas S. Vedvick	124 South 300 th Place, Federal Way, Washington 98003	;
Chaitanya S. Bangur	2102 North 105 th Street, Apt. J101, Seattle, Washington 98133	;
Andria McNabb	3602 Northeast 11 th Court, Renton, Washington 98056	;

(hereinafter referred to as ASSIGNORS), having post office addresses as listed above next to our names, are the joint inventors of an invention entitled

COMPOSITIONS AND METHODS FOR THE
THERAPY AND DIAGNOSIS OF LUNG CANCER

which is described and claimed in the specification and claims of continuation-in-part (C-I-P) Patent Application No. 09/902,941, as filed in the United States Patent and Trademark Office on July 10, 2001 ("this application") for which a patent is sought. This application derives benefit from the following application(s):

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number	Attorney Docket Number
09/849,626	05/03/2001		210121.478C16
09/736,457	12/13/2000		210121.478C15
09/702,705	10/30/2000		210121.478C14

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number	Attorney Docket Number
09/677,419	10/06/2000		210121.478C13
09/671,325	09/26/2000		210121.478C12
09/658,824	09/08/2000		210121.478C11
09/651,563	08/29/2000		210121.478C10
09/614,124	07/11/2000		210121.478C9
09/589,184	06/05/2000		210121.478C8
09/560,406	04/27/2000		210121.478C7
09/546,259	04/10/2000		210121.478C6
09/533,077	03/22/2000		210121.478C5
09/519,642	03/06/2000		210121.478C4
09/476,300	12/30/1999		210121.478C3
09/466,867	12/17/1999		210121.478C2
09/419,356	10/15/1999		210121.478C1
09/346,492	06/30/1999		210121.478

WHEREAS, Corixa Corporation (hereinafter referred to as ASSIGNEE), a corporation of the State of Delaware having a place of business at 1124 Columbia Street, Suite 200, Seattle, Washington 98104, is desirous of acquiring the entire right, title and interest in and to said invention, this application, and in and to any Letters Patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign and transfer unto said ASSIGNEE, the entire right, title and interest in and to said invention, this application and any and all Letters Patent which may be granted therefor in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from this application and said parent

application(s) to which said foreign applications are entitled by virtue of international convention, treaty or otherwise; said invention, this application and all Letters Patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns for their use and benefit and of their successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNORS had this assignment, transfer and sale not been made.

ASSIGNORS hereby authorize and request the Director of the Patent and Trademark Office to issue said United States Patent to ASSIGNEE, of the entire right, title and interest in and to the same, for its sole use and benefit, and for the use and behalf of its legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by us had this assignment and sale not been made.

ASSIGNORS agree to execute all instruments and documents required for the making and prosecution of applications for United States and foreign Patent on said invention, for litigation regarding said Patent, or for the purpose of protecting title to said invention or Patent therefor.

11-21-2001
 Date _____ Signature of Robert A. Henderson _____
 State of WASHINGTON)
) ss.
 County of KING)

I certify that I know or have satisfactory evidence that Robert A. Henderson is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated November 21, 2001
 Signature of Notary Public Deirdre I. Bryan
 Printed Name DEIRDRE I. BRYAN
 My appointment expires 9/1/02

Date

11/21/2001

Signature of Tongtong Wang

State of

WASHINGTON

County of

KING

ss.

I certify that I know or have satisfactory evidence that Tongtong Wang is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

Dated

November 21, 2001

Signature of
Notary Public

Deirdre I. Bryan

Printed Name

DEIRDRE I. BRYAN

My appointment expires

9/1/02

Date

11/20/2001

Signature of Yoshihiro Watanabe

Yoshihiro Watanabe

State of

WASHINGTON

County of

KING

ss.

I certify that I know or have satisfactory evidence that Yoshihiro Watanabe is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated

November 20, 2001

Signature of
Notary Public

Deirdre I. Bryan

Printed Name

DEIRDRE I. BRYAN

My appointment expires

9/1/02

Date

11/30/01

Signature of Jeffrey C. Johnson

State of

WASHINGTON

ss.

County of

KING

I certify that I know or have satisfactory evidence that Jeffrey C. Johnson is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated

November 30, 2001

Signature of
Notary Public

Deirdre I. Bryan

Printed Name

DEIRDRE I. BRYAN

My appointment expires

9/1/02

Date

11/20/01

Signature of Marc W. Retter

Marc W. Retter

State of

WASHINGTON

ss.

County of

KING

I certify that I know or have satisfactory evidence that Marc W. Retter is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated

November 20, 2001

Signature of
Notary Public

Deirdre I. Bryan

Printed Name

DEIRDRE I. BRYAN

My appointment expires

9/1/02

Date 12/3/01Signature of Margarita Durham
Signature of Margarita DurhamState of WASHINGTON)County of KING)

ss.

I certify that I know or have satisfactory evidence that Margarita Durham is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

Dated December 3, 2001Signature of Notary Public Deirdre I. BryanPrinted Name DEIRDRE I. BRYANMy appointment expires 9/1/02Date 11/26/01Signature of Darrick Carter
Signature of Darrick CarterState of WASHINGTON)County of KING)

ss.

I certify that I know or have satisfactory evidence that Darrick Carter is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated November 26, 2001Signature of Notary Public Deirdre I. BryanPrinted Name DEIRDRE I. BRYANMy appointment expires 9/1/02

Date

11/21/01

Signature of Gary R. Fanger

State of

WASHINGTON

ss.

County of

KING

I certify that I know or have satisfactory evidence that Gary R. Fanger is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated

November 21, 2001

Signature of
Notary Public

Deirdre I. Bryan

Printed Name

DEIRDRE I. BRYAN

My appointment expires

9/1/02

Date

11/21/01

Signature of Thomas S. Vedvick

Thomas S. Vedvick

State of

WASHINGTON

ss.

County of

KING

I certify that I know or have satisfactory evidence that Thomas S. Vedvick is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated

November 21, 2001

Signature of
Notary Public

Deirdre I. Bryan

Printed Name

DEIRDRE I. BRYAN

My appointment expires

9/1/02

Date

11/21/01

Signature of Chaitanya S. Bangur

State of

WASHINGTON

County of

KING

ss.

I certify that I know or have satisfactory evidence that Chaitanya S. Bangur is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated

November 21, 2001

Signature of
Notary Public

Deirdre I. Bryan

Printed Name

DEIRDRE I. BRYAN

My appointment expires

9/1/02

Date

11/30/01

Signature of Andria McNabb

Andria McNabb

State of

WASHINGTON

County of

KING

ss.

I certify that I know or have satisfactory evidence that Andria McNabb is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

Dated

November 30, 2001

Signature of
Notary Public

Deirdre I. Bryan

Printed Name

DEIRDRE I. BRYAN

My appointment expires

9/1/02